

U.S. Department of Energy
Washington, D.C.

ORDER

DOE O 535.1

Approved: 10-22-04

This directive was reviewed and certified as current and necessary by Susan J. Grant, Director, Office of Management, Budget and Evaluation/Chief Financial Officer, 10-22-04.

SUBJECT: TIME AND ATTENDANCE REPORTING

1. OBJECTIVE. The objective of the DOE time and attendance (T&A) reporting system is to ensure that the presence and absence of employees are accurately recorded and reported for computing pay, leave, and allowances.
2. CANCELLATION. DOE 3600.1B, *Time and Attendance Reporting*, dated 4-23-92. Cancellation of an Order does not, by itself, modify or otherwise affect any contractual obligation to comply with the Order. Canceled Orders that are incorporated by reference in a contract remain in effect until the contract is modified to delete the references to the requirements in the canceled Orders.
3. APPLICABILITY.
 - a. Primary DOE Organizations, Including National Nuclear Security Administration (NNSA) Organizations. Except for the exclusions in paragraph 3c, this Order applies to all Primary DOE Organizations and field elements (see Attachment 1 for a complete list of Primary DOE Organizations). This Order automatically applies to Primary DOE Organizations created after it is issued.

The Administrator of NNSA shall assure that NNSA employees comply with their respective responsibilities under this Order.
 - b. Site/Facility Management Contractors. Not applicable.
 - c. Exclusion. Bonneville Power Administration.
4. REQUIREMENTS.
 - a. Recording Time and Attendance. Time and attendance is recorded by the employee or by a timekeeper based on the supervisor's observation or reasonable knowledge of the hours that the employee has worked.
 - b. T&A Data.
 - (1) T&A data must be maintained in a system approved by the Chief Financial Officer.
 - (2) The T&A report must cover a time period equal to the length of the biweekly pay period.

- c. Recording T&A Data. Daily recording must comply with the following requirements.
- (1) The number of hours worked must be recorded.
 - (2) The number of credit hours, compensatory time, and time-off award hours must be recorded for the days they are earned or used.
 - (3) The number of hours of absence must be recorded based on the type of absence for the day or days that an employee is absent.
 - (4) An employee's request for an absence of one hour or more must be supported by a completed "Request for Leave or Approved Absence," OPM Form 71, or other method approved by the employee's organization. If the employee is unavailable to submit a request prior to an absence, he/she must submit one upon returning to duty.
 - (5) All absences must be reported under the provisions of the following:
 - (a) DOE O 322.1A;
 - (b) 5 CFR 550, 551, 610 and 630; and
 - (c) *Automated Time, Attendance, and Production System (ATAAPS) Manual.*
 - (6) The number of hours compensated at premium rates (overtime, night, holiday or Sunday work, standby duty, and availability pay) must be recorded for the days on which the premium hours were actually worked.
 - (7) Documentation of authorization for premium pay must be retained by the timekeeper.
- d. Overtime/Holiday Hours.
- (1) Requests for overtime should be certified and approved by the appropriate approving official before the overtime is worked.
 - (2) When an emergency precludes prior authorization, overtime must be approved as soon as possible and include a statement as to why it could not be approved in advance.
 - (3) Only overtime/holiday hours actually worked or entitled to under "call back overtime" rules will be certified.
 - (4) When the number of overtime hours worked is more than the number of previously approved overtime hours, the additional hours must be

approved immediately after the work is performed and before it is recorded in the T&A system.

e. Supplemental T&A Data.

- (1) The T&A clerk will transmit supplemental T&A data when leave usage or other hours were not included with the original T&A data.
- (2) Supplemental T&A data must be corrected in the T&A system as soon as possible but not later than one year following the submission of the original T&A data.

f. Certification of T&A Data. Except for Heads of Primary Organizations, who may certify their own time and attendance, employees may not certify their own T&A data. T&A data must be certified no later than the dates and times specified by the payroll customer service representative to allow adequate time to prepare the payroll.

5. RESPONSIBILITIES.

a. Heads of Primary Organizations.

- (1) Designate primary and alternate certifying officials and ensure that they know the employees for which they are responsible and understand that they are responsible for the employees' attendance.
- (2) Designate T&A clerks and approve overtime and other premium pay.
- (3) Maintain and certify their own T&A data.

b. Payroll Customer Service Representatives.

- (1) Serve as the liaison between the payroll service provider and DOE customers on T&A matters.
- (2) Provide T&A system training for new customer service representatives, supervisors, timekeepers, and employees.
- (3) Enter T&A data into the payroll system when timekeepers do not have access during an emergency or other event.
- (4) Research and develop various ad hoc reports.

c. Payroll Service Providers.

- (1) Maintain an effective automated T&A system and provide instructions on the use of the system.

- (2) Ensure that T&A records are properly secured and access to data is restricted in accordance with the Privacy Act.
- d. Human Resources Offices. Provide timely personnel actions to the payroll service provider for actions involving compensation.
- e. Overtime Approving Officials.
 - (1) Ensure that overtime hours are scheduled and approved in advance of the work to be performed.
 - (2) Approve requests for overtime hours.
- f. T&A Certifying Officials (Supervisors).
 - (1) Submit requests for approval of overtime to the overtime approving official in advance of work to be performed.
 - (2) Ensure that T&A data for employees under their cognizance are prepared according to the requirements of this Order.
 - (3) Certify as correct the T&A data for each employee under their supervision following the end of the pay period.
 - (4) Keep informed as to the attendance of employees for whom they are responsible, including those assigned to duty stations away from the supervisor's immediate area, and ensure the accuracy of T&A data. When an employee's schedule or hours of duty or work location differs from the supervisor's, the supervisor may—
 - (a) arrange for another supervisor to observe the employee occasionally during times the supervisor is not present but the employee is scheduled to be present;
 - (b) visit the employee's work site occasionally;
 - (c) determine the reasonableness of work output for the hours reported;
 - (d) contact the employee periodically during the employee's scheduled work hours; and/or
 - (e) have the employee provide his/her hours of work for each pay period.
 - (5) Designate alternate certifying officials, timekeepers, and alternate timekeepers.

- (6) Maintain schedules of starting and ending times for all employees.
- (7) Maintain documentation pertaining to approval of flexi-place hours, and report flexi-place hours on a daily basis.
- (8) Maintain documentation supporting all absences. For military leave and court leave, supporting documentation should include copies of military orders/court orders before the leave is taken and must include military/court certification of actual attendance upon return to work. All documentation, including OPM Form 71, medical certificates, and approved overtime requests must be retained for six years, in accordance with the National Archives and Records Administration General Records Schedule.
- (9) Maintain management supervision of employees under alternative work schedules during all hours of extended workdays as set forth in paragraph 4a of this Order to ensure proper certification of employees' T&A data.
- (10) Ensure that employees under their jurisdiction are aware of the provisions of this Order and specifically that they may not authorize or approve their own T&A data.
- (11) Ensure that T&A data and appropriate documentation for absences are transmitted to the payroll service provider and that the timekeeper retains a copy of the documentation specified in this Order.
- (12) Keep informed of negative leave balances and use or lose balances of employees under their supervision.
- (13) Document changes in an employee's tour of duty and ensure that it is kept current in the T&A system.
- (14) Certify retroactive T&A data for overtime/holiday hours worked or leave usage as soon as possible, but not later than one year after the applicable pay period.

g. Timekeepers.

- (1) Maintain current files of designated certifying officials and their alternates.
- (2) Record data in the T&A system for employees in their designated areas with a breakdown of leave hours taken on each day in accordance with this Order and other specified instructions provided by the payroll service provider.
- (3) Maintain the required supporting documentation.

- (4) Ensure that all transactions initiated after the biweekly payroll completion date are made via corrected supplemental T&A reports.
 - (5) Ensure that T&A records are properly secured and access to data is restricted in accordance with the Privacy Act.
 - (6) Know each individual shown on the T&A report.
 - (7) Establish T&A records for new employees reporting for duty.
 - (8) Ensure that T&A data and corrections are certified in a timely manner.
- h. Employees. Ensure that timekeepers have timely T&A information and are notified of work schedule changes. Employees who do not work at the same locations as their supervisors must report their time and attendance to the supervisor in a manner determined by the supervisor.
6. REFERENCES. DOE directives are available online at www.directives.doe.gov.
- a. DOE 534.1B, *Accounting*, dated 1-6-03, prescribes policies and procedures for the accounting and financial management of DOE accounting operations.
 - b. DOE O 322.1A, *Pay and Leave Administration and Hours of Duty*, dated 5-8-98, establishes DOE responsibilities and procedures for the management of pay, including overtime and compensatory time, leave administration, and hours of duty.
 - c. *DOE Handbook on Leave and Absence* (June 2001), which provides information on the type and amount of leave for specific absences (online at <http://www.ma.mbe.doe.gov/pers/handbook.pdf>).
 - d. Title 5 Code of Federal Regulations (CFR), Parts 550, 551, 610 and 630, which authorize premium pay for overtime, including compensatory time off, work at night or on a holiday or Sunday, availability or standby duty, and leave, and establish hours of work (online at http://www.access.gpo.gov/nara/cfr/waisidx_04/5cfrv1_04.html).
 - e. GAO-03-352G, *Maintaining Effective Control over Employee Time and Attendance Reporting*, dated January 2003, prescribes the internal controls that govern time and attendance reporting (online at <http://www.gao.gov/new.items/d03352g.pdf>).
 - f. *ATAAPS Manual*, which sets forth the procedures for the use of ATAAPS (online at <http://chris.inel.gov/payroll/index.htm?fuse=trainingguides>).

- g. National Archives and Records Administration General Records Schedule which specifies the timeframe for retention of records (online at http://www.archives.gov/research_room/index.html).

7. DEFINITIONS.

- a. Call Back Overtime. Irregular or occasional overtime work performed by an employee on a day when work was not scheduled for him/her, or for which he/she is required to return to his/her place of employment, is deemed at least two hours in duration for the purpose of premium pay, either in money or compensatory time off.
- b. Premium Hours. Time worked outside of normally scheduled hours, including: overtime, night, holiday, Sunday work, and standby duty hours.
- c. Workday. The designated day when an employee is expected to perform his/her job assignment.

8. CONTACT. Questions concerning this Order should be directed to the Office of Financial Policy at 202-586-4860.

BY ORDER OF THE SECRETARY OF ENERGY:



KYLE E. McSLARROW
Deputy Secretary

**PRIMARY DEPARTMENT OF ENERGY ORGANIZATIONS
TO WHICH DOE O 535.1 IS APPLICABLE**

Office of the Secretary
Departmental Representative to the Defense Nuclear Facilities Safety Board
Energy Information Administration
National Nuclear Security Administration
Office of the Chief Information Officer
Office of Civilian Radioactive Waste Management
Office of Congressional and Intergovernmental Affairs
Office of Counterintelligence
Office of Economic Impact and Diversity
Office of Electric Transmission and Distribution
Office of Energy Assurance
Office of Energy Efficiency and Renewable Energy
Office of Environment, Safety and Health
Office of Environmental Management
Office of Fossil Energy
Office of General Counsel
Office of Hearings and Appeals
Office of Independent Oversight and Performance Assurance
Office of Inspector General
Office of Intelligence
Office of Legacy Management
Office of Management, Budget and Evaluation/Chief Financial Officer
Office of Nuclear Energy, Science and Technology
Office of Policy and International Affairs
Office of Public Affairs
Office of Science
Office of Security
Office of Security and Safety Performance Assurance
Secretary of Energy Advisory Board
Southeastern Power Administration
Southwestern Power Administration
Western Area Power Administration